

Automated EQR Technical Compliance Screens

Below is a list of EQR compliance screens. An electronic program used these screens to search for potentially non-compliant entries. Failing any one of these screens may mean that your filing does not comply with FERC requirements. By the same token, passing any of these screens does not mean that your filing is sufficient.

Screen	Screening File	Notes
Suspect Seller DUNS numbers appear in the filing	Bad_Seller_Duns_Numbers.csv	If your company does not have a DUNS Number, it can obtain one free of charge by calling Dun & Bradstreet's government dedicated, self-request line at 1-866-705-5711. If your company is in the process of obtaining a DUNS Number, use 000000000. After your company receives a DUNS number, you should re-file your EQR data with the newly obtained DUNS number.
Suspect Buyer DUNS numbers appear in the filing	Bad_Buyer_Duns_Numbers.csv	If, and only if, your buyer does not have a DUNS Number or is in the process of obtaining a DUNS Number, it is appropriate to use 000000000. If you have entered '000000000' please confirm that that a DUNS number does not exist.
A questionable name is listed for a Seller in your EQR	Bad_Seller_Names.csv	Only the name of the seller should be entered; no commentary should be included.
A questionable name is listed for a Buyer in your EQR	Bad_Buyer_Names.csv	Only the counterparty's name should be listed as the buyer; no commentary should be included. Contract-specific identifiers should be included in the contract service agreement ID field or not at all. Multiple buyers under a single contract should be listed separately. If your company did not have any contracts for the period, you should not enter any data on the EQR contract tab.
The Seller's name matches the Buyer's name	Buyer_Same_As_Seller.csv	Please check if you are really selling to yourself.
A questionable Contract Service Agreement ID appears in your filing	Bad_Contract_Service_Agreement_IDs.csv	Contract Service Agreement ID is a unique designation for each service agreement. It may be the number assigned by FERC for those service agreements that have been filed and approved by the Commission, or it can be an internal numbering system. <i>The filer must be able to readily identify and produce a contract based on the Contract Service Agreement ID.</i>

Screen	Screening File	Notes
A suspect FERC Tariff Reference is provided in your filing	Bad_Ferc_Tariff_References.csv	The FERC Tariff Reference should clearly identify the tariff and/or rate schedule approved by the Commission. For independent power marketers, this is likely "Rate Schedule No. 1," the rate schedule authorizing sales at market-based rates. Neither a FERC Docket Number nor an OASIS number is a valid FERC Tariff Reference. A tariff reference from a standard contract (e.g., WSPP #6) is not a valid reference because that is not the tariff that authorizes you to do business.
A product is identified in your transactions that is not described as a product under the contract	Product_Names_In_Transactions_But_Not_In_Contracts.csv	Under most circumstances, a product sold in a transaction should be included as a product in the description of the contract. This does not apply to products such as "booked out power" and "uplift."
ISO sales appear to be aggregated	ISO_Aggregated_Sales.csv	If your company is selling energy, a separate line must be entered in the EQR every time that the price changes. If your company is selling to an ISO, it is likely the price would change every hour.
Sales to ISO customers reported as Booked Out Power	ISO_Booked_Out_Power_Sales.csv	In Order 2001-E, "Booked Out Power" was defined as excluding sales to ISOs. Therefore, since 1/1/2004, sales to ISOs that are booked out (usually in the real time market) should be reported as negative sales with "ENERGY" as the product name.
Quantity and Total Transaction Charge are zero.	Zero_Quantity_And_Total_Transaction_Charge.csv	If the quantity sold is zero, no sale has been made that would need to be reported.
Contract provides for the sale of energy under both cost-based and market-based rates.	Both_CB_And_MB_Energy_Contracts.csv	You are asked to confirm that the given contract actually provides for energy sales under both market-based and cost-based rates.
The agent listed in your EQR filing is the same as the respondent.	Filer_Same_As_Respondent.csv	The agent is the person that physically makes the EQR filing. The respondent is the person that is responsible for ensuring that your company complies with FERC regulations. These are two different functions that are usually held by different people.

Screen	Screening File	Notes
There appear to be hourly transactions in your EQR filing where transactions intervals are greater than a day in length.	Hourly_Transactions_With_Non_Hourly_Intervals.csv	"Hourly" transactions are generally expected to have frequent price changes meaning that the duration of the transaction would be expected to be less than a day.